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PATENT
Docket No. 199372003600
Client Ref. 133055US

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on May 24, 2002.

Cheryl Y. Price
Cheryl Y. Price



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

TOSHIMA

Serial No. 10/036,787

Filing Date: October 19, 2001

For: METHOD AND APPARATUS OF
PROCESSING SURFACE OF
SUBSTRATE

Examiner: Not Assigned

Group Art Unit: Not Assigned

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In complete response to the Notice to File Missing Parts of Application Under
37 C.F.R. § 1.53(f) dated February 27, 2002, attached please find:

- ☒ Petition for Extension of Time
- ☒ Submission of Certified Copy of Priority Document
- ☒ Submission of Formal Drawings (13 sheets)
- ☒ A verified English translation of the application, and the \$130.00 fee as set forth

07/17/2002 MTEKLENI 00000011 031952 370036787 § 1.17(k).

01 FC:139

130.00 CH

The Assistant Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to Deposit Account No. 03-1952, referencing docket no. 199372003600. A duplicate copy of Form PTO/SB/17 is attached.

Respectfully submitted,

MORRISON & FOERSTER, L.L.P.

Date: May 24, 2002

By: David L. Fehrman
David L. Fehrman
Registration No. 28,600
Attorney for Applicant(s)

555 West 5th Street, Suite 3500
Los Angeles, California 90071
Phone: 213-892-5601
Fax: 213-892-5454

20036787.060502

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PATENT
Docket No. 199372003600
Client Reference 133055US

#4

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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Assistant Commissioner for Patents, Washington, D.C. 20231, on May 24, 2002.

Cheryl Y. Price
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

TOSHIMA

Serial No.: 10/036,787

Filing Date: October 19, 2001

For: METHOD AND APPARATUS OF
PROCESSING SURFACE OF
SUBSTRATE

Examiner: Not Assigned

Group Art Unit: Not Assigned

SUBMISSION OF FORMAL DRAWINGS

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Enclosed are 13 sheets of formal drawings in connection with the above-identified application.

Respectfully submitted,

Dated: May 24, 2002

By:

David L. Fehrman
David L. Fehrman
Registration No. 28,600

Morrison & Foerster LLP
555 West Fifth Street
Suite 3500
Los Angeles, California 90013-1024
Telephone: (213) 892-5601
Facsimile: (213) 892-5454

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Page 1 of 2



UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, D.C. 20231
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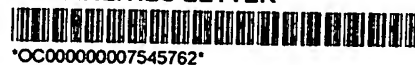
| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/036,787 | 10/19/2001 | Takayuki Toshima | 199372003600 |

David L. Fehrman
Morrison & Foerster LLP
35th Floor
555 W. 5th Street
Los Angeles, CA 90013-1024



CONFIRMATION NO. 5431

FORMALITIES LETTER



OC000000007545762

Date Mailed: 02/27/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

06/07/2002 SHINASSI 00000044 031952 10036787

FILED UNDER 37 CFR 1.53(b)

01 FC:105 130.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- The balance due by applicant is \$ 130.
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

A copy of this notice **MUST** be returned with the reply.

A. Sauer
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



205090-2875007

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#3

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0551-0032
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



FEE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

Complete if Known

| | |
|----------------------|------------------|
| Application Number | 10/038,787 |
| Filing Date | October 19, 2001 |
| First Named Inventor | TOSHIMA |
| Examiner Name | Not Assigned |
| Group Art Unit | Not Assigned |
| Attorney Docket No. | 199372003600 |

TOTAL AMOUNT OF PAYMENT

(\$)**240.00**

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **03-1952**
Deposit Account Name: **Morrison & Foerster LLP**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101 | 740 | 201 | 370 | Utility filing fee | |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$)**0**

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 20** | x | | \$ |
| 3** | x | | \$ |
| Multiple Dependent | | | \$ |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------|-----------------|----------------|-----------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claims, if not paid |
| 109 | 84 | 209 | 42 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)**0**

** or number previously paid, if greater; For reissues, see above.

FEE CALCULATION (continued)

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | 130.00 |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | 110.00 |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions of the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per properties (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**240.00**

SUBMITTED BY

| | | | | | | |
|-------------------|-------------------------|-----------------------------------|--------|--------------------------|--------------|----------------|
| Name (Print/Type) | David L. Fehrman | Registration No. (Attorney/Agent) | 28,600 | Complete (if applicable) | Telephone | (213) 892-5601 |
| Signature | <i>David L. Fehrman</i> | | | Date | May 24, 2002 | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

la-574793